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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/697,062	10/26/2000	Paul Navarro	ISAA0010	4614

22862 7590 08/26/2004

GLENN PATENT GROUP
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EXAMINER

CUFF, MICHAEL A

ART UNIT	PAPER NUMBER
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3627

DATE MAILED: 08/26/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/697,062

Applicant(s)

NAVARRO ET AL.

Examiner

Michael Cuff

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 14 May 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-3, 8, 9, 12-27, 29 and 30 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-3, 8, 9, 12-27, 29 and 30 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____

DETAILED ACTION

Applicant's Response

1. Applicant has amended claim 12 to address the 35 USC 112 issue. Claim 28 has been canceled. Applicant has provided a user manual for the TRIAD system to make the record clear as to what is the novel issue of this application.

Claim Rejections - 35 USC § 103

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-3, 8-9, and 12-30 are rejected under 35 U.S.C. 103(a) as being unpatentable over applicant's admitted prior art of the TRIAD system in view of Ratnaraj et al.

Applicant's admitted prior art of the TRIAD system shows all of the limitations of the claims except for specifying an integratable interface and a secure internet web site.

Applicant's admitted prior art of the TRIAD system shows a central data center, report records, scoring and decision models, delinquent collection mechanism, a usage limit management mechanism, an authorizations management mechanism, and a marketing communication mechanism.

Ratnaraj et al. teaches, figure 3, an authenticated access to Internet based

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research and data services system. Access to a database is provided via the Internet using a World Wide Web server (integratable interface) including a search engine, a CGI gateway and user selectable data queries for extracting data, generating reports, and the like. Querying the user's central machine for authentication authenticates access by the user. Data Query software at the web server permits queries initiated via a web browser (secure Internet web site) to be completed off-line and the results e-mailed to the initiator of the request. The background discusses an improved authentication technique is desired that allows databases such as WRDS to be accessed via the Internet using an authentication code that can be easily verified without requiring an additional account management system or significant amounts of customized software. The invention uses 'cookies' to facilitate communication between web servers and web browsers. The technique of the invention permits system based authentication without adding any special account management requirements.

Based on the teaching of Ratnaraj et al., it would have been obvious to one of ordinary skill in the art, at the time the invention was made, to modify applicant's admitted prior art of the TRIAD system to incorporate the Internet interface and web site of Ratnaraj et al. in order to permit system based authentication without adding any special account management requirements.

Response to Arguments

3. Applicant's arguments filed 5/14/04 have been fully considered but they are not persuasive.

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Applicant assert that the prior art of record does not teach, suggest, nor contemplate 'an end user client adapted for implementation in a personal computer and comprising a facility for exchanging information with said central data center via said secure Internet Web site, wherein said end user client manages database files and control settings that are uploaded to a host system for processing, and wherein said end user client comprises applications which provide a graphical front-end for graphical views of strategies, strategic portfolio assignments, and scorecard data.' Applicant specifically refers the Examiner to Figure 3 of Ratnarai. The examiner does not concur and does not believe that the argument is clear on which element is missing. The remote client terminal 40 is the PC. The world wide web server 42 is the secure Internet Web site. The integrate WRDS database 34 is the host system, which by combination is the TRIAD system, which includes the recited application.

Conclusion

4. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be

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calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael Cuff whose telephone number is (703) 308-0610. The examiner can normally be reached on 8:00 to 5:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Robert Olszewski can be reached on (703) 308-5183. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Michael Cuff 8/23/04

Michael Cuff
August 23, 2004